

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant: A. Raymond Frackelton, Jr. and Pamela A. Davol  
Application No.: 10/687,396 Group Art Unit: 1643  
Filed: October 15, 2003 Examiner: Humphrey, David Harold  
Confirmation No.: 2101  
Title: SHC Proteins as Therapeutic Targets in Proliferative Diseases

CERTIFICATE OF MAILING OR TRANSMISSION	
I hereby certify that this correspondence is being deposited with the United States Postal Service with sufficient postage as First Class Mail in an envelope addressed to Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450, or is being facsimile transmitted to the United States Patent and Trademark Office on:	
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SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT

Mail Stop Amendment  
Commissioner for Patents  
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Sir:

This Information Disclosure Statement is submitted:

- ☐ under 37 CFR 1.129(a), or  
(First/Second submission after Final Rejection)
- ☒ under 37 CFR 1.97(b), or  
(Within any one of the following time periods: three months of filing national application (other than a CPA) or date of entry of the national stage in an international application; or before the mailing date of a first office action on the merits in a non-provisional application, including a CPA, or a Request for Continued Examination).
- ☐ under 37 CFR 1.97(c) together with either:
- ☐ a Statement under 37 CFR 1.97(e), as checked below, or
- ☐ a \$180.00 fee under 37 CFR 1.17(p), or  
(After the 37 CFR 1.97(b) time period, but before final action or notice of allowance, whichever occurs first)
- ☐ under 37 CFR 1.97(d) together with:
- ☐ a Statement under 37 CFR 1.97(e), as checked below, and
- ☐ a \$180.00 fee under 37 CFR 1.17(p), or  
(Filed after final action or notice of allowance, whichever occurs first, but on or before payment of the issue fee)
- ☐ under 37 CFR 1.97(i):  
Applicant requests that the IDS and cited reference(s) be placed in the application file.  
(Filed after payment of issue fee)

Statement Under 37 CFR 1.97(e)

- ☐ Each item of information contained in this Information Disclosure Statement was first cited in any communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this Information Disclosure Statement; or
- ☐ No item of information contained in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application, and, to the knowledge of the undersigned, after making reasonable inquiry, no item of information contained in the information disclosure statement was known to any individual designated in 37 CFR 1.56(c) more than three months prior to the filing of this Information Disclosure Statement.

Statement Under 37 CFR 1.704(d) (Patent Term Adjustment)

Applies to original applications (other than design) filed on or after May 29, 2000

- ☐ Each item of information contained in the Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart application and this communication was not received by any individual designated in § 1.56(c) more than thirty days prior to the filing of the Information Disclosure Statement.
- ☒ Enclosed herewith is form PTO-1449:
- ☒ Copies of the cited references are enclosed (C1-C5).
- ☒ Copies of issued U.S. patents and published U.S. applications are not required and are not being provided.
- ☐ Copies of the cited references are enclosed except those entered in prior application, U.S. Application No. [ ], to which priority under 35 U.S.C. 120 is claimed. [The earlier application contains copies of the cited references.]
- ☒ The listed references, A1-A2, were cited in the enclosed International Search Report in a counterpart foreign application.
- ☐ The "concise explanation" requirement (non-English references) for reference(s) [ ] under 37 CFR 1.98(a)(3) is satisfied by:
- ☐ the explanation provided on the attached sheet.
  - ☐ the explanation provided in the Specification.
  - ☐ submission of the enclosed International Search Report.
  - ☐ submission of the enclosed English-language version of a foreign Search Report and/or foreign Office Action.
  - ☐ the enclosed English language abstract.

**[XX] Applicant requests that the following non-published pending applications be considered:**

Examiner's  
Initials

\_\_\_\_\_  
**U.S. Patent Application No. 60/735,729, by A. Raymond Frackelton, Jr., filed  
November 11, 2005, Docket No.: 3887.1001-000**

\_\_\_\_\_  
**Examiner**

\_\_\_\_\_  
**Date**

- ☒ A copy of each above-cited application, including the current claims, is enclosed, except any application filed on or after June 30, 2003, which has been scanned into the PTO's Image File Wrapper (IFW) system and is available to the examiner.  
*(Affix a label or apply the stamp "Non-Published IDS Reference - Do Not Scan" to the front of each unpublished pending appl'n.)*
- ☐ A copy of each above-cited application, including the current claims, is enclosed, except those entered in prior application, U.S. Application No. [ ], to which priority under 35 U.S.C. 120 is claimed.

The Examiner is requested to return a copy of the above list of pending applications indicating which references were considered with the next office communication.

It is requested that the information disclosed herein be made of record in this application.

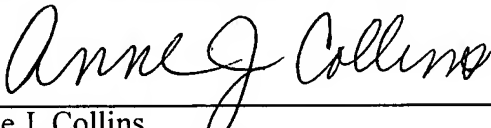
Method of payment:

- ☐ A check for the fee noted above is enclosed, or the fee has been included in the check with the accompanying Reply. A copy of this Statement is enclosed.
- ☐ Please charge Deposit Account 08-0380 in the amount of \$[ ]. A copy of this Statement is enclosed.
- ☒ Please charge any deficiency in fees and credit any overpayment to Deposit Account 08-0380.

Respectfully submitted,

HAMILTON, BROOK, SMITH & REYNOLDS, P.C.

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Dated:

*February 23, 2006*

PTO-1449 REPRODUCED

ATTORNEY DOCKET NO.  
3887.1000-001APPLICATION NO.  
10/687,396INFORMATION DISCLOSURE STATEMENT  
IN AN APPLICATIONFIRST NAMED INVENTOR  
A. Raymond Frackelton, Jr.FILING DATE  
October 15, 2003

February 23, 2006

(Use several sheets if necessary)

EXAMINER  
Humphrey, David HaroldCONFIRMATION NO.  
2101GROUP  
1643

## U.S. PATENT DOCUMENTS

EXAM- INER INI- TIAL	REF. NO.	DOCUMENT NUMBER Number-Kind Code (if known)	ISSUE DATE / PUBLICATION DATE MM-DD-YYYY	NAME OF PATENTEE OR APPLICANT OF CITED DOCUMENT
	A1	2004/0209809 A1	10-21-2004	Saucier, <i>et al.</i>
	A2	5,912,183	06-15-1999	Comoglio, <i>et al.</i>
	A3	6,492,138 B1	12-10-2002	McGlade, <i>et al.</i>
	A4	6,025,145 A	02-15-2000	Godowski, <i>et al.</i>
	A5	6,777,415 A	08-17-2004	Daley, <i>et al.</i>

## FOREIGN PATENT DOCUMENTS

		DOCUMENT NUMBER Country Code-Number-Kind Code (if known)	DATE MM-DD-YYYY	NAME OF PATENTEE OR APPLICANT OF CITED DOCUMENT	TRANSLATION YES NO	
	B1					
	B2					
	B3					
	B4					
	B5					

## OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)

	C1	Bonati, A., <i>et al.</i> , "Selective Expression and Constitutive Phosphorylation of SHC Proteins in the CD34+ Fraction of Chronic Myelogenous Leukemias," <i>Cancer Research</i> 68:728-732 (2000).
	C2	Crowe, <i>et al.</i> , "Phosphorylation of the SHC Proteins on Tyrosine Correlates with the Transformation of Fibroblasts and Erythoroblasts by the v-Sea Tyrosine Kinase," <i>Oncogene</i> 9:537-544 (1994).
	C3	McGlade, J., <i>et al.</i> , "Shc Proteins are Phosphorylated and Regulated by the v-Src and v-Fps Protein Tyrosine Kinases," <i>Proc. Natl. Acad. Sci.</i> 89:8869-8873 (1992).
	C4	Pellicci, G., <i>et al.</i> , "Constitutive Phosphorylation of Shc Proteins in Human Tumors," <i>Oncogene</i> 11:899-907 (1995).
	C5	Yang, J., <i>et al.</i> , "Tyrosine Phosphorylation of Shc Proteins in Normal CD34+ Progenitor Cells and Leukemic Cells," <i>Blood</i> 94:373-374 (1999).

EXAMINER

DATE CONSIDERED